

ARNOLD SCHWARZENEGGER  
GOVERNOR

MATTHEW R. BETTENHAUSEN  
SECRETARY



**Cal EMA**  
CALIFORNIA EMERGENCY  
MANAGEMENT AGENCY

July 12, 2010

Kelley Baulwin-Johnson  
Probation Services Manager  
Solano County Probation Department  
475 Union Avenue  
Fairfield, CA 94533

Subject: Site Visit – Evidence Based Probation Supervision Program #ZP09010480 /  
Comprised of 09 JAGR \$531,928

Dear Ms. Baulwin-Johnson:

I would like to take the opportunity to thank you and your staff for the courtesy extended to me during the site visit conducted on June 30, 2010, at the Solano County Probation Department. Enclosed, you will find a copy of the completed Performance Site Visit Report for your ZP09010480 award.

The site visit gives California Emergency Management Agency the opportunity to assist the project with the achievement of their goals and objectives, and administering their grant funds in the most effective and efficient manner. As a Program Specialist, I am available to assist you with any questions regarding the grant program. Please do not hesitate to contact me at (916) 323-7736, if I can be of assistance to you in the future.

Sincerely,

Leona LaRochelle  
Criminal Justice Specialist  
Public Safety and Victim Services Division

Enclosure

cc: Lennette Gutierrez, Administrative Services Manager  
Cal EMA Main File - ZP09010480

**PROGRAM:** Evidence Based Probation Supervision

1. **GRANT AWARD NUMBER:** ZP09010480      **DATE OF SITE VISIT:** June 30, 2010
2. **GRANT PERIOD:** October 1, 2009 - September 30, 2012
3. **RECIPIENT/IMPLEMENTING AGENCY:**  
County of Solano / Solano County Probation
4. **PROJECT DIRECTOR:**  
Kelly Baulwin-Johnson

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
<u>Kelly Baulwin-Johnson</u>	<u>Probation Srvs Manager</u>	<u>Solano County Probation</u>
<u>Lennette Gutierrez</u>	<u>Admin Services Manager</u>	<u>Solano County Probation</u>
<u>Sandi Holmes</u>	<u>Accountant</u>	<u>Solano County Probation</u>
<u>Jeff Liddicoat</u>	<u>Sr. Staff Analyst</u>	<u>Solano County Probation</u>
<u> </u>	<u> </u>	<u> </u>

Date \_\_\_\_\_

Date \_\_\_\_\_

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

#### 1. OPERATIONAL DOCUMENTS

YES    NO    N/A

Review hard copy/verify the ability to access on line:

- |  |                                     |                          |                                     |
|--|-------------------------------------|--------------------------|-------------------------------------|
| • The Cal EMA Recipient Handbook (R.H.)  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
| • The Approved Grant Award Agreement   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
| • The RFA/RFP (supersedes the requirement of the R.H.)   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
| • The Program Guidelines (supersedes the requirement of the R.H.)  | <input type="checkbox"/>            | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at <a href="http://www.whitehouse.gov/omb/circulars">www.whitehouse.gov/omb/circulars</a> . | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |

Comments:

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#### 2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- |  |                          |                          |                                     |
|--|--------------------------|--------------------------|-------------------------------------|
| • Obtain copy of required Fidelity Bond Certificate? <i>[R.H. Section 2161]</i> Does <u>not</u> apply to state, city, or county units of government. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Does the certificate show:   |                          |                          |                                     |
| o Bonding company's name   | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Bond number  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Description of coverage  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Amount of coverage (50% of allocation)   | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Bond period  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Grant award number   | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Form A, Employee Dishonesty  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Form B, Forgery Coverage   | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| o Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?   | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Comments:

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#### 3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- |  |                                     |                          |                          |
|--|-------------------------------------|--------------------------|--------------------------|
| • Does the project have its CEQA documentation on file?(Ask to view)   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Certified Exempt   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Recipient has adopted or certified an environmental document which complies with the requirements of CEQA. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

#### 4. PROOF OF AUTHORITY (R.H. Section 1350)

YES NO N/A

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)

☒ ☐ ☐

Comments:

#### 5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

☒ ☐ ☐

Comments:

#### 6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). [R. H. Section 7500] (*Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.*)

☐ ☒ ☐

A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments:

Project is running well and has no need of modifications at this time. They are on task with objectives set out to preform

#### 7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do the personnel policies include:
  - Work hours
  - Compensation rates including overtime and benefits
  - Vacation, sick, and other leave allowances
  - Hiring and promotional policies

☒ ☐ ☐

☒ ☐ ☐  
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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
  - Staff note: Complete a sample review of a personnel file ☒ ☐ ☐
  - Job application ☒ ☐ ☐
  - Resume ☒ ☐ ☐
  - Performance evaluations ☒ ☐ ☐
  - Salary rates ☒ ☐ ☐
  - Benefits ☒ ☐ ☐
  - Current job duties/descriptions ☒ ☐ ☐
  - Other terms of employment ☒ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152] ☒ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☒ ☐ ☐

Comments:

#### 8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☒ ☐ ☐

Comments:

Functional time sheets are used using a specific Position Control number for the EBPS grant positions

#### 9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
  - Name of individual who approves purchases.  
Kelly Baulwin-Johnson/ Lennette Gutierrez
  - Name of individual who writes checks.  
County Auditor
  - Name of individual(s) who signs checks.  
county Auditor

Comments:

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

#### 10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

YES NO N/A

- Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? ☒ ☐ ☐
- Does the project maintain an accurate inventory log of equipment purchased with grant funds? ☐ ☐ ☒

Comments:

Process of maintaining record keeping system was discussed. A Tight control of documentation was expressed and Sandi was in charge of all records and file

#### 11. PROJECT EXPENDITURES

- Is the project's expenditure rate commensurate with the elapsed period of the grant? ☒ ☐ ☐
- Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? ☒ ☐ ☐
- Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)? ☐ ☒ ☐
- Is the project up-to-date with the submission of Cal EMA Form 2-201? ☒ ☐ ☐

Comments:

A Request for Expenditure is due in a few days for the quarter of April - June in which

#### 12. MATCH REQUIREMENTS

- Does the project have a match requirement? ☐ ☐ ☒
- Is the project meeting the match requirement? ☐ ☐ ☒
- Review the supporting documentation to substantiate cash or in-kind match. ☐ ☐ ☒

Comments:

There is no match with the Evidence Based Probation Supervision grant

#### 13. EEO POLICY

- Go over EEO checklist. (Separate document) ☒ ☐ ☐

Comments:

All documentation was gathered and EEO form was fill out by the Recipient. Documentation was sent to Cal EMA EEO Officer, Lisa Abila on July 2, 2010



## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

#### GENERAL

YES NO N/A

#### 14. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?
- Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?

☒ ☐ ☐

☐ ☒ ☐

Comments:

The Project has been up and running since January 2010, they are on course with all objective set out.

#### 15. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements.

☒ ☐ ☐

Comments:

Discussed with the Project that the BJA PMT online tool has taken the place of the Cal EMA Progress Report. Explained that a copy of the report should be retained in the file as their Progress Report requirements

#### 16. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

☒ ☐ ☐

Comments:

#### 17. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement?

☒ ☐ ☐

Comments:

Solano County Probation has an agreement with the Solano County Sheriff's Department to work together to provide quality supervision for higher risk offender and intervention for young adult offenders to reduce recidivism.

#### 18. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

☒ ☐ ☐

Comments:

Project works under the Solano County duty statement for their position, as well as an individualized Task and Standard duty statement for the EBPS grant.





## NOTICE OF EXEMPTION

To: ☒ Office of Planning and Research  
P. O. Box 3044, Room 212  
Sacramento, CA 95812-3044

☒ County Clerk, County of Solano

From: Department of Resource Management  
675 Texas Street, Suite 5500  
Fairfield, CA 94533

Project Title: Young Adult Intensive Intervention Program

Project Location – Specific: 475 Union Avenue

Project Location – City: Fairfield

Project Location – County: Solano

Description of Nature, Purpose and Beneficiaries of Project: The Young Adult Intensive Intervention Program is a specialized unit of the Probation Department focusing on assessment and supervision of 18-25 year old felony offenders. The grant funds will support one supervisor, one senior deputy probation officer, and one deputy probation officer.

Name of Public Agency Approving Project: Solano County

Name of Person or Agency Carrying Out Project: Department of Probation

Exempt Status: (check one)

- ☐ Ministerial (Sec. 21080(b)(1); 15268);
- ☐ Declared Emergency (Sec. 21080(b)(3); 15269(a));
- ☐ Emergency Project (Sec. 21080(b)(4); 15269(b)(c));
- ☒ Categorical Exemption. State type and section number: Section No.15306
- ☐ Statutory Exemptions. State code number:

Reasons why project is exempt: The project results in basic assessment, supervision and data collection which does not result in a disturbance to an environmental resource.

Lead Agency Contact Person: Michael Yankovich, Planning Manager

Phone: (707) 784-6765

### If filed by applicant:

1. Attach certified document of exemption finding.
2. Has a Notice of Exemption been filed by the public agency approving the project? ☒ Yes ☐ No

Signature: Michael Yankovich

Date: 6-25-10

☒ Signed by Lead Agency

☐ Signed by Applicant

Date received for filing at OPR: \_\_\_\_\_

(Form Revised 2005)

**APPROVED**

**FEB 24 2009**



BY Maria Chiles *deputy*  
CLERK OF THE BOARD

**AGENDA SUBMITTAL TO SOLANO COUNTY BOARD OF SUPERVISORS**

<b>ITEM TITLE</b> Authorize department heads to vigorously pursue federal stimulus money and submit grant applications on behalf of Solano County with the concurrence of the County Administrator		<b>BOARD MEETING DATE</b> February 24, 2009	<b>AGENDA NUMBER</b> 29
<b>Dept:</b> <b>Contact:</b> <b>Extension:</b>	Board of Supervisors Supervisor Kondylis 6863	<b>Supervisory District Number</b>  ALL	
<b>Published Notice Required?</b>		Yes _____	No <u>X</u>
<b>Public Hearing Required?</b>		Yes _____	No <u>X</u>

**DEPARTMENTAL RECOMMENDATION:**

Supervisor Kondylis requests that the Board authorize department heads to vigorously pursue federal stimulus money and submit grant applications on behalf of Solano County with the concurrence of the County Administrator.

**DISCUSSION**

The American Recovery and Reinvestment Act, commonly referred to as the federal stimulus package, is designed to infuse substantial financial resources into the economy as quickly as possible. To meet this objective, the timeline to apply for grants will be extremely short. Departments are already exploring possible grant opportunities to meet the potential grant opportunities as soon as the details of the application process are published.

Delegating this authority to department heads, with concurrence of the County Administrator, will allow for the timely submittal of grant applications that will bring stimulus money to Solano County.


**RESOLUTION NO. 2009-253**

**RESOLUTION OF THE BOARD OF SUPERVISORS OF THE COUNTY OF SOLANO  
AMENDING THE LIST OF NUMBERS AND CLASSIFICATIONS OF POSITIONS  
WITHIN SOLANO COUNTY**

**BE IT RESOLVED AND ORDERED**, that the Solano County Board of Supervisors authorize the Director of Human Resources to make any technical corrections if needed;

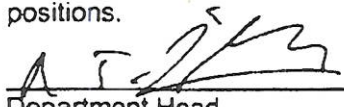
**NOW BE IT FURTHER RESOLVED AND ORDERED**, that the Board of Supervisors of Solano County does hereby amend, modify and/or alter its Allocation List of Positions of Solano County as set forth below:

Department	Budget Unit	Class No.	Position Control #	Class Title	Departmental Total Positions			
					Allocated	Filled	Proposed	Grand Total
Probation	6650	315020	NEW	Deputy Probation Officer (Supervising) (LT Regular) (12/13/09- 6/30/11)	14	14	1	15
Probation	6650	513060	NEW	Deputy Probation Officer (Senior) (LT Regular) (12/13/09- 6/30/11)	35	35	1	36
Probation	6650	513070	NEW	Deputy Probation Officer (LT Regular) (12/13/09- 6/30/11)	52	52	1	53

  
Director of Human Resources

12-2-09  
Date

Department Head confirms that the above represents the department's current and proposed allocation of positions.

  
Department Head

12/1/09  
Date

On motion of Supervisor Reagan, and second by Supervisor Spering, the Solano County Board of Supervisors adopted this resolution on December 8, 2009, by the following vote:

AYES: SUPERVISORS Kondylis, Reagan, Seifert,  
Spering, and Chair Vasquez

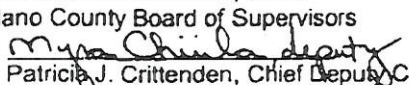
NOES: SUPERVISORS None

EXCUSED: SUPERVISORS None

  
JOHN M. VASQUEZ, Chair  
Solano County Board of Supervisors

ATTEST:

MICHAEL D. JOHNSON, Clerk  
Solano County Board of Supervisors

By:   
Patricia J. Crittenden, Chief Deputy Clerk



## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION III – AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA) PROGRAMMATIC REVIEW

YES NO N/A

1. Is the project aware that they must provide Cal EMA with a valid Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number?

☒ ☐ ☐

Comments:

2. Is the project aware of the Central Contractor Registry (CCR) requirements?

- ☐ Register with a valid DUNS number; and  
☐ Renew CCR registration yearly for the life of the grant.

☒ ☐ ☐  
☒ ☐ ☐

Comments:

3. Does the project understand that they report Section 1512(c) information to Cal EMA and not to FederalReporting.gov directly?
- ☐ Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and
- ☐ Completed Jobs Data Collection Sheets are due to Cal EMA by the 3<sup>rd</sup> working day of each month for JAG funded programs and by the 10<sup>th</sup> day of the each month for VOCA or VAWA funded programs.
- ☐ Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked.

☒ ☐ ☐  
☒ ☐ ☐  
☒ ☐ ☐

Comments:

4. Does the project understand that by accepting the grant award, they agreed to:

- ☐ Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and
- ☐ Accounting systems must ensure that ARRA funds are not commingled with funds from any other source.

☒ ☐ ☐

☒ ☐ ☐

Comments:

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

☒ ☐ ☐

Comments:

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at [www.usdoj.gov/oig](http://www.usdoj.gov/oig).

☒ ☐ ☐

Comments:

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

☒ ☐ ☐

Comments:

8. Does the project understand that by accepting the grant award, they:

- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any sub-recipient, contractor, or subcontractor; and
- Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any sub-recipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award.

☐ ☒ ☐☒ ☐ ☐

Comments:

9. For existing staff positions, does the project have documentation the position would have been eliminated if not for Recovery Act Funding?

☒ ☐ ☐

Documentation may include:

- Budget comparisons and/or projections before and after the Recovery Act award date
- Formal layoff recommendations and retractions (memos, reports)
- Minutes of formal meetings where official budget decisions were made.